

**Headquarters “As Is”: Table
SC-1: Office of the Director
(Director/Principal Deputy/Deputy for Operations; Science Education Program)
Draft: November 16, 2002**

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
1	Advance Science and Technology	<ul style="list-style-type: none"> Foster and support forefront basic and applied research programs which advance the science and technology foundations necessary to accomplish DOE missions: <ul style="list-style-type: none"> basic energy sciences high energy and nuclear physics fusion energy biological and environmental research advanced computing research 	Secretary Atomic Energy Act of 1946, 42 U.S.C. § 1801, <i>et. seq.</i> Atomic Energy Act of 1954, 42 U.S.C. § 2011, <i>et. seq.</i> Energy Reorg. Act of 1974, 42 U.S.C. § 5801, <i>et. seq.</i> DOE Organization Act of 1977, 42 U.S.C. § 7101, <i>et. seq.</i> 42 U.S.C. § 2051	Secretary; Under Secretary for Energy, Science & Environment
2	Set SC-Wide Strategic Direction	<ul style="list-style-type: none"> ensure that DOE and national priorities are reflected in the content and orientation of SC research programs and activities make final decisions regarding planning/direction of SC science and non-technical programs and operational activities request/secure advice from SC Advisory Committees regarding scientific and technical goals, priorities, & program planning establish expectations for SC-wide performance in programmatic and operational areas provide policy guidance and direction for SC Headquarters and Field Offices on scientific and non-technical programmatic and operational issues develop "corporate story" to describe SC programs and role develop outreach strategies for DOE, White House, general public, and domestic/international science communities 	Secretary	Secretary; Under Secretary for Energy, Science & Environment
3	Acquire Funding for SC Programs (Formulate & Enact Budget)	<ul style="list-style-type: none"> make final decisions on budget priorities across SC science programs make final decisions regarding funding of SC science and non-technical programs and operational activities defend proposed budgets to the Secretary, OMB, OSTP, and Congress testify at Authorization & Appropriations Committee hearings 	Secretary <u>Budget Formulation:</u> DOE 130.1 DOE Budget Formulation Handbook CFO Budget Calls OMB Circular A-11, “Preparation & Submission of Budget Estimates”	Secretary; Under Secretary for Energy, Science & Environment

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
			Government Performance and Results Act of 1993	
4	Execute Budget	<ul style="list-style-type: none"> develop and maintain domestic and international strategic alliances in S&T evaluate laboratory R&D chair SC ESAAB-Equivalent Board approve membership of SC Advisory Committees; recommend membership to the Secretary recommend Lawrence & Fermi Award recipients to the Secretary; recommend Fermi Award recipients to the President 	Secretary	Secretary; Under Secretary for Energy, Science & Environment
5	Steward National Science Infrastructure	<ul style="list-style-type: none"> advise the Secretary on basic and applied DOE research missions <p><u>SC Laboratories:</u></p> <ul style="list-style-type: none"> advise the Secretary on DOE-wide laboratory and policy issues which affect the institutional capabilities of the DOE laboratories provide funding for the operation/maintenance of large-scale scientific user facilities ensure laboratory infrastructure needs are adequately addressed conduct annual institutional planning reviews at SC laboratories undertake initiatives to ensure continuous management improvement of SC laboratories <p><u>Future DOE Scientific Manpower:</u></p> <ul style="list-style-type: none"> manage/direct/develop SC Science Education Programs ensure science education opportunities for students/faculty in DOE-relevant disciplines promote participation of underrepresented populations in science education programs 	<p>Secretary</p> <p><u>Advise S-1 on S&T:</u> DOE Organization Act of 1977, 42 U.S.C. § 7139</p> <p><u>Advise S-1 on Labs:</u> DOE Organization Act of 1977, 42 U.S.C. § 7139</p> <p><u>User Facilities:</u> 42 U.S.C. § 13503</p> <p><u>Science Education:</u> DOE Organization Act of 1977, 42 U.S.C. § 7112 42 U.S.C. § 13504</p>	Secretary; Under Secretary for Energy, Science & Environment
6	Defend/Fight for SC Interests	<ul style="list-style-type: none"> champion scientific/non-technical programs and SC positions on operational, administrative, or management issues within DOE (S-1/S-2/S-3; Assistant Secretaries; at FMC, LOB, DNFSB, ESAAB, COO Council Meetings) and within the Executive Branch (OMB, OSTP, White House, other agencies) foster consistent operational positions/policies/procedures for EM, DP, & SC resolve disputes between SC & other DOE offices on programmatic/operational issues at the Assistant Secretary or Secretarial level 		Secretary; Under Secretary for Energy, Science & Environment
7	Advocate & Represent SC/DOE/U.S. Perform Proactive Outreach to External Communities	<ul style="list-style-type: none"> explain SC/DOE/Administration positions and current/proposed SC programs to Congressional members and staff; testify before Congressional committees deliver speeches/make presentations on SC programs/budgets/policies; participate in panel discussions, etc. promote SC programs with stakeholders (other government agencies, public, press, national & international scientific societies, foreign governments, etc.) 		Secretary; Under Secretary for Energy, Science & Environment; Executive Office of the President
8	Oversee/Manage the SC Complex	<ul style="list-style-type: none"> provide policy & management oversight of SC program/staff/operations/site offices 	Secretary	Secretary; Under Secretary for Energy,

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
		<ul style="list-style-type: none"> • direct high-level day-to-day technical, management, and operational activities • settle disputes between SC Headquarters & Field Offices • appraise/review performance of Associate Directors, Office Directors, Operations Office Managers, and Site Office Managers 		Science & Environment

Headquarters “As Is” Table
SC-4: Office of the Executive Director/Office of the Director
Draft: October 12, 2002

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
1	Provide Guidance to SC Headquarters and Field Offices (Executive Director)	<ul style="list-style-type: none"> provide guidance on assignments, policy positions, or decisions previously made by the SC/DOE Principals on a wide-range of technical, administrative, management, and operations-related issues resolve questions of interpretation of policy guidance 	Director	Director, Principal Deputy Director, Deputy Director for Operations
2	Manage Day-to-Day Operation of the Director’s Office (Executive Director)	<ul style="list-style-type: none"> manage workload & personnel resources; set priorities supervise/appraise/review performance of assistants and administrative staff authorize/approve administrative activities (autopen usage, travel, leave, etc.) approve Principals' schedules provide policy and management guidance/direction to staff 	Director	Director, Principal Deputy Director, Deputy Director for Operations
3	Resolve Crosscutting Issues (Executive Director)	<ul style="list-style-type: none"> handle/resolve problems which cut across individual SC offices on behalf of the SC Principals to minimize or eliminate the time they spend on resolving issues, mediating disputes, and negotiating disparate points of view 	Director	Director, Principal Deputy Director, Deputy Director for Operations
4	Provide Direct Support to SC Principals (Director, Principal Deputy Director, Deputy Director for Operations) (Exec. Director & Staff)	<ul style="list-style-type: none"> perform assignments requiring quick turn-around in terms of response obtain/coordinate/review/revise/draft documents (talking points, briefing papers, speeches, testimony, presentations) ensure SC Principals are prepared for all meetings (obtain background information, draft/edit briefing papers, arrange briefings) keep SC Principals informed in areas of assigned responsibility support execution of Principals' personnel-related responsibilities (appraisals, awards, position descriptions, Executive Resource Board actions, etc.) 	Director	Director, Principal Deputy Director, Deputy Director for Operations
5	Provide Advice/Develop Recommendations for the SC Principals (Exec. Director & Staff)	<ul style="list-style-type: none"> analyze complex legislation and Federal/DOE policies and procedures which impact SC analyze highly-visible, politically-sensitive, complex issues; develop policy options/implementation procedures/resolutions/alternate courses of action coordinate Congressional, public affairs, and outreach activities provide advice on policy, organizational, management, administrative, and non-technical activities; make recommendations regarding changes in policy, program direction, and program management 	Director	Director, Principal Deputy Director, Deputy Director for Operations
6	Provide Quality Assurance for SC Documents (Staff)	<ul style="list-style-type: none"> review all correspondence for signature by the SC & DOE Principals ensure correspondence is clear and grammatically correct, completely responds to the incoming document, and meets good standards for readability, logic, & flow ensure policy/program issues are presented fully, correctly, and in a balanced manner and that documents reflect SC/DOE/Administration posture/position edit/redraft documents when necessary 	Director	Director, Principal Deputy Director, Deputy Director for Operations
7	Provide Direct Support to Associate/Office	<ul style="list-style-type: none"> serve as trouble-shooter on behalf of Directors/Managers with the Director's Office & other Forrestral offices 	Director	Associate/Office Directors &

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
	Directors & Operations/Site Managers (Exec. Director & Staff)	<ul style="list-style-type: none"> advocate, raise issues for action/decision when Principals cannot be reached 		Operations/Site Office Managers
8	Facilitate/Guide/Coordinate SC International Activities (Staff)	<ul style="list-style-type: none"> provide expert assistance/advice in planning program-specific and crosscutting international R&D activities (development of international strategies, preparation/negotiation/implementation/evaluation of international agreements) defend SC interests regarding administrative issues impacting international activities (visas, export issues, foreign travel, visits & assignments, etc.) represent/present SC/DOE/USG position in negotiations with Federal agencies & foreign governments direct/oversee and/or coordinate/facilitate the preparation/negotiation/implementation/evaluation of international agreements direct/coordinate DOE & interagency review/approval processes for international collaborations 	Director	Director, Principal Deputy Director, Deputy Director for Operations
9	Provide Feedback to SC Complex (Exec. Director & Staff)	<ul style="list-style-type: none"> assure all information relevant to assigned responsibilities is disseminated disseminate information, relay assignments, provide guidance on assignments/policy positions when SC Principals cannot do so 	Director	Director, Principal Deputy Director, Deputy Director for Operations
10	Provide Direct Support, Advice, Information to S-1/S-2/S-3/DOE/Exec. Branch; Provide Information to Congress (Exec. Director & Staff)	<ul style="list-style-type: none"> provide analytical capability and expertise to ensure timely response to quick reaction tasks; perform assignments requiring quick turn-around analyze issues, develop policy options, make recommendations obtain/coordinate/review/revise/draft documents (talking points, briefing papers, speeches, testimony, presentations) 	Director	Director, Principal Deputy Director, Deputy Director for Operations
11	Represent Director's Office (Exec. Director & Staff)	<ul style="list-style-type: none"> serve as liaison/primary POC for the Director's Office with staff from the Secretary's Office, other parts of DOE, the Executive Office of the President, other government agencies, Congress, S&T community, press, and the public respond to requests for information on behalf of SC Principals 	Director	Director, Principal Deputy Director, Deputy Director for Operations
12	Execute Daily Administrative Activities (Staff)	<ul style="list-style-type: none"> oversee operation of the SC Document Logging Tracking System manage SC's FMC Review Process plan/monitor SC Principals' schedules process timesheets, make travel arrangements, provide clerical support (word processing, phone messages, photocopying etc.) arrange office moves/telephone service, order furniture & supplies, etc. obtain concurrences from other DOE offices on critical SC correspondence 	Director	Director, Principal Deputy Director, Deputy Director for Operations

“As Is” Table
SC-5: Office of Planning and Analysis (OPA)
Draft: November 16, 2002

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
1	Manage/Coordinate SC Strategic Planning Process	<ul style="list-style-type: none"> • obtain/review/revise/draft documents related to SC Strategic Plan • coordinate development of the SC Strategic Plan with development of the Department’s Strategic Plan • serve as SC liaison/primary POC on strategic planning with other parts of DOE, OMB, OSTP, other Federal agencies, Congress, etc. • develop SC positions on general/crosscutting science and technology issues; coordinate these positions with other DOE offices 	Director	Director, Principal Deputy Director
2	Support Budget Formulation	<ul style="list-style-type: none"> • obtain/review/revise/draft documents required to defend SC budget (budget narrative & executive summary, testimony, speeches, presentations) <p><u>Performance Measures:</u></p> <ul style="list-style-type: none"> • lead/manage/coordinate SC efforts to develop performance measures • lead/manage/coordinate annual response to GPRA requirements • assist/advise/provide guidance to other SC offices in developing performance measures and GPRA responses 	<p>Director</p> <p>Government Performance and Results Act of 1993</p>	Director, Principal Deputy Director
3	Execute Budget	<ul style="list-style-type: none"> • develop management tools that assist with portfolio analysis and strategic planning • pursue research studies that inform the development of metrics/indicators for S&T • conduct evaluation studies that document the contributions of SC science programs to the Nation • provide management oversight, guidance, and direction to contractor responsible for the development/maintenance of SC website • provide management oversight, guidance, and direction to contractor responsible for publication of SC “newsletter” (ES News) and other outreach activities 	Director	Director, Principal Deputy Director
4	Direct/Coordinate Evaluation of SC Laboratories by SC Program Managers	<ul style="list-style-type: none"> • design/manage/implement/assess/revise SC laboratory appraisal process for SC programs • develop/recommend/coordinate implementation of policy for the appraisal of SC laboratories by SC program managers • serve as focal point for policy resolution or interpretation of appraisal process; analyze questions/issues raised by Headquarters or Field Offices; provide expert advice; recommend appropriate action by SC Director • review assessments by SC program offices; make recommendations to Headquarters and Field management for revision and further actions • coordinate/integrate assessments from SC offices; develop final report for SC Director’s signature 	Director	Director, Principal Deputy Director
5	Manage SC/DOE Awards Processes	<ul style="list-style-type: none"> • manage/review processes for Fermi and Lawrence Awards • provide management oversight, guidance, and direction to contractor 	Director	Director, Principal Deputy Director

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
		responsible for staffing the processes to select recipients <ul style="list-style-type: none"> • make/oversee arrangements and logistics for awards ceremonies • provide direct support to the SC Director and the Secretary for award ceremonies (draft speeches & talking points; provide briefing books, etc.) 		
6	Represent SC/DOE	<ul style="list-style-type: none"> • serve as liaison/primary POC for SC with other Federal agencies and research coordinating bodies in the areas of research planning, assessment, and policy development • represent SC/DOE to public and private S&T organizations regarding general/crosscutting S&T policy issues; serve as Director's liaison to these groups • assist the Director in integrating SC research programs with DOE Technology Programs 	Director	Director, Principal Deputy Director
7	Analyze & Inform Policy	<ul style="list-style-type: none"> • analyze & recommend practices and procedures that influence the effective performance and accountability of SC-supported R&D programs • monitor international S&T progress to assess the competitive status of U.S. activities 	Director	Director, Principal Deputy Director
8	Facilitate SC Communications	<ul style="list-style-type: none"> • organize/coordinate communications activities and events • develop presentations, speeches, and documents on the programs and accomplishments of SC for public dissemination • provide support to the Director's Office in the development of SC communications and outreach strategies 	Director	Director, Principal Deputy Director
9	Manage Day-to-Day Operation of Office of Planning & Analysis	<ul style="list-style-type: none"> • manage workload & personnel resources; set priorities • supervise/appraise/review performance of staff • authorize/approve administrative activities (travel, leave, etc.) 	Director	Director, Principal Deputy Director
10	Execute Daily Administrative Activities	<ul style="list-style-type: none"> • process timesheets, make travel arrangements, provide clerical support (word processing, phone messages, photocopying etc.) • arrange office moves/telephone service, order furniture & supplies, etc. 	Director	Director, Principal Deputy Director

**Headquarters “As Is” Table
SC-7: Office of Laboratory Policy
Draft: October 12, 2002**

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
1	Manage/Coordinate Institutional Planning Process for SC Laboratories (Steward National Science Infrastructure)	<ul style="list-style-type: none"> design/manage SC Institutional Planning Process; annually assess lessons learned; incorporate improvements prepare institutional planning guidance and instructions for issuance by SC-1 coordinate reviews of Institutional Plans by SC Program Offices recommend approval of institutional plans to Director direct/manage/coordinate annual On-Site Review for each SC laboratory make/coordinate arrangements for annual On-Site Reviews; establish agendas monitor, laboratory issues, initiatives and development of strategic plans on behalf of the SC Director 	<p>Director</p> <p>DOE Organization Act of 1977, 42 U.S.C. § 7139</p>	Director, Deputy Director for Operations
2	Develop Policy and Ensure Effective Implementation of Work-for-Others (WFO) Programs at SC Laboratories	<ul style="list-style-type: none"> develop/recommend and coordinate effective implementation of WFO policy and procedures for SC laboratories establish and implement procedures for oversight and reporting WFO activities for SC laboratories provide management oversight, guidance, and direction to SC Field Offices & laboratories regarding WFO recommend appropriate overall funding level and mix of WFO at SC laboratories to Director as part of Institutional Planning Process evaluate/review WFO activities for consistency with laboratory & DOE missions; alert Director to activities that may be sensitive or inappropriate; recommend appropriate action represent SC/DOE on DOE/interagency task forces to develop overall DOE or U.S. Government policy on WFO serve as focal point for policy resolution or interpretation of WFO policy; analyze questions/issues raised by Field/Headquarters Offices or SC laboratories; provide expert advice; recommend appropriate action by Director when necessary 	<p>Director</p> <p>DOE Organization Act of 1977, 42 U.S.C. § 7259a 42 U.S.C. § 2053 DOE 481.1B</p>	Director, Deputy Director for Operations
3	Develop Policy and Ensure Effective Implementation of Laboratory Directed Research and Development (LDRD) Programs at SC Laboratories	<ul style="list-style-type: none"> develop/maintain DOE LDRD Order; coordinate all policy issues with other DOE Offices establish and implement procedures for oversight and reporting LDRD activities for the SC laboratories provide management oversight, guidance, and direction to SC Field Offices and laboratories regarding LDRD recommend annual LDRD funding levels for SC laboratories to Director conduct annual LDRD program reviews to ensure compliance with DOE policy; alert Director to activities that may be sensitive or inappropriate; recommend appropriate action integrate SC input to annual CFO report to Congress on LDRD serve as focal point for policy resolution or interpretation of LDRD policy; analyze questions/issues raised by Field/Headquarters Offices or SC 	<p>Director</p> <p>42 U.S.C. § 5817a DOE 413.2A</p>	

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
		laboratories; provide expert advice; recommend appropriate action by Director when necessary		
4	Advocate Effective Stewardship of SC Laboratories	<ul style="list-style-type: none"> • ensure the SC laboratories' institutional issues are addressed by SC/DOE • foster resolution of system-wide issues and concerns including the role of the laboratories and policies governing their use • champion laboratory issues/concerns with SC Principals • champion the 10 SC laboratories overall well-being as institutions • champion SC positions with other DOE offices to improve management efficiency and effectiveness (including performance based management) • serve as SC primary point of contact/liaison for other DOE HQ offices on laboratory-related issues including contracts, enhancing performance, and implementing contract reform initiatives • support the efforts of the National Laboratory Improvement Council 	Director	Director, Deputy Director for Operations
5	Provide Guidance to SC Headquarters and Field Offices on Laboratory-Related Issues	<ul style="list-style-type: none"> • provide policy guidance and direction to SC Headquarters /Field Offices & SC Laboratories on laboratory-related policy or decisions made by the SC/DOE Principals • resolve questions of interpretation of policy guidance 	Director	Director, Deputy Director for Operations
6	Provide Advice to SC & DOE Principals/Develop & Inform Policy Regarding Laboratory-Related Issues	<ul style="list-style-type: none"> • provide expert advice on DOE-wide laboratory and policy issues which affect management effectiveness and efficiency, institutional capabilities, and well-being of the National Laboratories • provide advice/review/analysis of issues such as the extension or competition of contracts, performance fee determinations, laboratory performance plan development, contract reform initiatives, and M&O Contractor staff issues (salary actions/approvals, downsizing efforts, and contractor work force information systems); develop/recommend SC positions • conduct/participate in studies and analyses of GOCO laboratory issues (e.g., Hamre Commission, LOB studies); develop policy options, implementation procedures, resolutions, and/or alternate courses of action 	Director	Director, Deputy Director for Operations
7	Provide Direct Support to SC/DOE Principals	<ul style="list-style-type: none"> • provide staff support for regularly-scheduled meetings (Laboratory Directors, Operations Office Managers, Laboratory Operations Board) that examine and resolve laboratory-related issues including laboratory & contract policy, budgets, cost-effective operation, barriers to/improvements in efficient management • provide staff support to the SC Principals in their efforts within DOE (S-1/S-2/S-3; Assistant Secretaries; at FMC, DNFSB, COO Council Meetings) and external to DOE (OMB, OSTP, other Federal agencies, Congress, GAO) to advocate effective and efficient laboratory management and maintain SC laboratory capabilities • support Director's initiative to improve communications with universities & promote university-laboratory partnerships and collaborations; carry out annual meetings with University Vice Presidents and follow up on all actions, issues, and requests • keep SC Principals informed of significant laboratory-related issues/problems 	Director	Director, Deputy Director for Operations

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
		<ul style="list-style-type: none"> • obtain/coordinate/review/revise/draft documents related to laboratory-related policy and operational issues (talking points, briefing papers, speeches, testimony, presentations) 		
8	Maintain Information on SC Laboratories	<ul style="list-style-type: none"> • develop/maintain information systems about laboratory funding, staffing, mission, competencies, activities, and trends (individually & as a system) • perform trend analysis of cost of doing business at SC multi program laboratories; provide information to SC management & program offices • produce reports which describe the SC laboratories, their management and trends for public dissemination • develop presentations, speeches, and briefing materials on the SC laboratories 	Director	Director, Deputy Director for Operations
9	Manage Day-to-Day Operation of SC-7	<ul style="list-style-type: none"> • provide policy and management guidance/direction to staff • manage workload & personnel resources; set priorities • supervise/appraise/review performance of staff • authorize/approve administrative activities (travel, leave, etc.) 	Director	Director, Deputy Director for Operations
10	Execute Daily Administrative Activities	<ul style="list-style-type: none"> • process timesheets, make travel arrangements, provide clerical support (word processing, phone messages, photocopying etc.) • arrange office moves/telephone service, order furniture & supplies, etc. 	Director	Director, Deputy Director for Operations

Generic Headquarters Program Office “As Is” Table
Draft: October 12, 2002

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
1	Advance the Science and Technology Foundations Necessary to Accomplish DOE Missions	See Individual Program Office Tables		
2	Develop/Recommend Strategic Direction for Program Office	<ul style="list-style-type: none"> define/establish vision, goals, objectives, set program priorities formulate strategic plans recommend program plans and strategies to Director identify important energy-related research needs in consultation with other DOE Offices & the scientific and engineering communities recommend charges for Office Advisory Committee to Director to obtain advice regarding scientific and technical goals, priorities, & program planning establish expectations for performance in programmatic areas provide policy/programmatic guidance and technical direction to SC Headquarters and Field Offices 	Director	Director, Principal Deputy Director
3	Acquire Funding for Office Programs (Formulate & Enact Budget)	<ul style="list-style-type: none"> determine appropriate balance among research programs supported within Office define overall funding levels, apportion funding among intra-office programs develop budget submission and justification defend proposed budget to the Director; obtain final approval for submission to the Secretary assist the Director in defending proposed budget to OMB, OSTP, and Congress testify before Authorization & Appropriations Committees, as requested by the Director 	Director	Director, Principal Deputy Director
4	Execute Budget	<ul style="list-style-type: none"> analyze/evaluate program & project results; define new priorities based on changing technical and policy considerations implement rigorous merit evaluation using independent peer review for all new and ongoing research agreements & grants following peer review, evaluate/select/approve funding for research agreements and research proposals; establish priorities for selected proposals <p><u>M&O Contracts:</u></p> <ul style="list-style-type: none"> approve Field Work Proposals develop Approved Funding Plans (“financial plans”) authorize obligation of program funds; sign financial plans, Work Authorizations, Procurement Request Packages ensure that authorized work is appropriate, within the mission, is adequately technically and programmatically documented; ensure that work and costs conform to work authorized issue/revise Work Authorizations; request changes to financial plans 	<p>Director</p> <p><u>Grants & Cooperative Agreements:</u> 10 CFR 605 (SC Financial Assistance Program)</p> <p><u>M&O Contracts:</u> Department of Energy Acquisition Regulation (DEAR), 48 CFR, Chapter 1 DOE 412.1 (Work Authorization System)</p>	Director, Principal Deputy Director

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
		<ul style="list-style-type: none"> provide technical direction and management for work performed by contractors; assess the status of work performed; plan new direction; set program priorities, and arrange new research projects <p><u>Financial Assistance Instruments (Cooperative Agreements & Grants):</u></p> <ul style="list-style-type: none"> authorize obligation of up to \$10M in program funds; sign Approved Funding Plans, Procurement Request Packages ensure government will obtain value, proposals receive impartial and fair treatment, sufficient funds are available, requirements of 10 CFR 605 are met provide program direction and management oversight of the operation of scientific facilities at laboratories and universities provide program direction/management oversight of major construction projects; work closely with SC Headquarters and Field Offices to assure timely development and completion incorporate DOE/SC safety values/interests/concerns/principles in program management provide guidance to researchers on the preparation of research proposals recommend membership of Office Advisory Committee to Director provide administrative support/coordinate activities of Office Advisory Committee develop/maintain domestic and international strategic alliances in S&T 	<p><u>Cooperative Agreements & Grants:</u> \$10M: SC Director</p> <p>10 CFR 600 (DOE Financial Assistance Program 10 CFR 605 (SC Financial Assistance Program) Federal Grants & Cooperative Act, U.S.C. § 6301</p>	
5	Steward National Science Infrastructure	<ul style="list-style-type: none"> ensure new/upgraded facilities are designed and constructed as needed for the long range health and vitality of fields supported participate in annual institutional planning reviews of SC laboratories 	Director	Director, Principal Deputy Director
6	<p>Advocate & Represent Office/SC/DOE/U.S.</p> <p>Perform Proactive Outreach to External Communities</p>	<ul style="list-style-type: none"> explain Program Office/SC/DOE positions and current/proposed programs to Congressional members and staff; testify before Congress when requested by the Director deliver speeches/make presentations on Office programs/budgets; participate in panel discussions, etc. promote Office's programs with stakeholders (other Federal agencies, public, press, national & international scientific societies, foreign governments, etc.) coordinate/integrate research programs with other DOE Program Offices assure effective interagency planning, coordination, and evaluation of research in related disciplines serve as liaison/primary POC on program office issues with other parts of DOE, the Executive Office of the President, other Federal agencies, Congress, the S&T community, the public, relevant technical societies, and committees of the National Academy of Sciences & the National Research Council 	Director	Director, Principal Deputy Director
7	Provide Direct Support, Advice, Information to SC/DOE Principals/Executive Branch	<ul style="list-style-type: none"> comment on proposed legislation affecting program-related activities ensure that timely & relevant Office-specific information is provided for DOE policy decisions analyze issues, develop options, make recommendations in program-related and management areas recommend changes in DOE programs, policies, or regulations to SC Director 	Director	Director, Principal Deputy Director

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
		<ul style="list-style-type: none"> • provide expert technical advice to SC Principals, keep them informed of status/achievements/progress/prospects/problems of program-related and other Office issues • assist Director's Office staff in preparing SC/DOE/Executive Branch Principals for meetings/events (provide briefings/background information; draft briefing papers, talking points, speeches, testimony, presentations, etc.) 		
8	Oversee/Manage Day-to-Day Operation of Office	<ul style="list-style-type: none"> • provide policy/management oversight and guidance for Office programs & activities • provide day-to-day policy, technical, and management direction/guidance for programs & personnel • approve contractor foreign travel • supervise/appraise/review performance of staff • manage workload & personnel resources; set priorities • authorize/approve administrative activities (travel, leave, etc.) 	Director	Director, Principal Deputy Director
9	Execute Daily Administrative Activities	<ul style="list-style-type: none"> • process timesheets, make travel arrangements, provide clerical support (word processing, phone messages, photocopying etc.) • arrange office moves/telephone service, order furniture & supplies, etc. • maintain historical Office data/information 	Director	Director, Principal Deputy Director

**Supplemental Headquarters “As Is” Table
SC-10: Office of Basic Energy Sciences (BES)
Draft: October 12, 2003**

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
1	Advance the Science and Technology Foundations Necessary to Accomplish DOE Missions	<ul style="list-style-type: none"> plan/develop/direct/fund/administer/implement forefront research programs in the following fields in order to provide the basis for advances in energy production/conservation/conversion/efficiency and the mitigation of impacts of energy production/use: <ul style="list-style-type: none"> materials, chemical, and engineering sciences plant and microbial biosciences geosciences 	Director Atomic Energy Act of 1946, 42 U.S.C. § 1801, <i>et. seq.</i> Atomic Energy Act of 1954, 42 U.S.C. § 2011, <i>et. seq.</i> Energy Reorg. Act of 1974, 42 U.S.C. § 5801, <i>et. seq.</i> DOE Organization Act of 1977, 42 U.S.C. § 7101, <i>et. seq.</i> 42 U.S.C. § 2051 42 U.S.C. § 13503 (BES-specific)	Director, Principal Deputy Director
2				
3				
4	Execute Budget	<ul style="list-style-type: none"> implement rigorous merit evaluation using independent peer review for all new and ongoing research agreements; grants; contracts from educational, industrial, and government organizations; government laboratories; universities; and industrial and not-for profit institutions 	Director 10 CFR 605 (grants) BES guidelines (labs/facilities)	Director, Principal Deputy Director
5	Steward National Science Infrastructure	<ul style="list-style-type: none"> plan, provide funding for the construction/operation/maintenance of world-class scientific user facilities for use by university, Federal, & industry researchers execute stewardship/landlord responsibilities for Argonne & Oak Ridge National Laboratories and Ames Laboratory fund and administer the Experimental Program to Stimulate Competitive Research (EPSCoR) for the Department 	Director 42 U.S.C. § 13503 (user facilities) 42 U.S.C. § 13503 (EPSCoR)	Director, Principal Deputy Director
6				
7				
8				
9	Execute Daily Administrative Activities	<ul style="list-style-type: none"> prepare hiring control exception requests, advance-in-hire memos, bonus justifications, award requests and justifications, performance appraisal forms draft position descriptions 		

Supplemental Headquarters “As Is” Table
SC-20: Office of High Energy & Nuclear Physics (HENP)
Draft: October 12, 2002

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
1	Advance the Science and Technology Foundations Necessary to Accomplish DOE Missions	<ul style="list-style-type: none"> plan/develop/direct/fund/administer/implement forefront research programs in the following fields in order to provide the scientific and technological base required to understand the basic constituents of matter, the fundamental forces in nature, the structure and properties of atomic nuclei, and the forces governing their motion and interactions: <ul style="list-style-type: none"> high energy physics low energy, medium energy, heavy ion nuclear physics nuclear data measurements, nuclear theory advanced accelerator and detector technology research 	Director Atomic Energy Act of 1946, 42 U.S.C. § 1801, <i>et. seq.</i> Atomic Energy Act of 1954, 42 U.S.C. § 2011, <i>et. seq.</i> Energy Reorg. Act of 1974, 42 U.S.C. § 5801, <i>et. seq.</i> DOE Organization Act of 1977, 42 U.S.C. § 7101, <i>et. seq.</i> 42 U.S.C. § 2051	Director, Principal Deputy Director
2				
3				
4	Execute Budget	<ul style="list-style-type: none"> organize/coordinate operation of accelerator, non-accelerator, and experimental facilities to ensure effective operation and utilization review accelerator/non-accelerator/experimental facility performance annually pursue international collaboration in all phases of high energy and nuclear physics research; develop program goals/objectives consistent with international collaboration develop, recommend U.S. position for international HENP agreements/collaborations; support coordination of USG consensus process approve technical content of international agreements provide guidance/prepare, execute, and evaluate formal international agreements; support negotiations assist in compiling of nuclear data with the US Nuclear Data Network & IAEA 	Director	Director, Principal Deputy Director
5	Steward National Science Infrastructure	<ul style="list-style-type: none"> execute stewardship/landlord responsibilities for Fermi National Accelerator Laboratory, Lawrence Berkeley National Laboratory, and Stanford Linear Accelerator Center (HEP); Thomas Jefferson National Accelerator Facility and Brookhaven National Laboratory (NP) 	Director	Director, Principal Deputy Director
6				
7				
8				
9				

Supplemental Headquarters “As Is” Table

SC-30: Office of Advanced Scientific Computing Research (OASCR)
Draft: November 16, 2002

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
1	Advance the Science and Technology Foundations Necessary to Accomplish DOE Missions	<ul style="list-style-type: none"> plan/develop/direct/fund/administer/implement forefront research programs in the following fields in order discover/develop/deploy the computational and networking tools that enable researchers to analyze, model, simulate, and predict complex phenomena important for the fulfillment of SC/DOE missions: <ul style="list-style-type: none"> advanced scientific computing research (applied mathematics, computer science, and networking) high performance computing, communications, & information infrastructure research 	<p>Director</p> <p>15 U.S.C. § 5511, 5513 (high performance computing)</p>	Director, Principal Deputy Director
2				
3				
4				
5	Steward National Science Infrastructure	<ul style="list-style-type: none"> provide/operate supercomputer & networking facilities primarily for use by DOE-funded researchers <p><u>Manage Technical Information Management Program for DOE:</u></p> <ul style="list-style-type: none"> develop/administer a system for the centralized collection, announcement, dissemination, and preservation of S&T information resulting from DOE-supported R&D and from energy R&D efforts of other countries promulgate DOE policies/procedures/directives for man. of tech. information negotiate/execute/administer agreements for the dissemination of DOE S&T information by other Federal agencies assist in the development, coordination, and administration of agreements with other countries for the exchange of S&T information manage the announcement, transfer, and/or distribution of sensitive, limited, and classified S&T information for DOE Assistant Secretaries maintain a computerized information sys. that lists ongoing DOE R&D projects <p><u>Manage Small Business Innovation Research (SBIR) Program for DOE:</u></p> <ul style="list-style-type: none"> plan/develop/direct/fund/administer/implement an R&D program designed to strengthen the role of small, innovative firms in Federally funded R&D <p><u>Manage Small Business Technology Transfer (STTR) Programs for DOE:</u></p> <ul style="list-style-type: none"> plan/develop/direct/fund/administer/implement an R&D program designed to combine small business capabilities with the scientific & engineering resources of Federally-funded research institutions 	<p>Director</p> <p><u>Technical Information Management Program:</u> Energy Reorg. Act of 1974, 42 U.S.C. § 103 42 U.S.C. § Section 2013 42 U.S.C. § 5813, 5817 42 U.S.C. § 5916 42 U.S.C. § 7112 15 U.S.C. § 3704b-2</p> <p>Small Business Innovation Development Act, 15 U.S.C. § 631, 638</p> <p>Small Business R&D Enhancement Act, 15 U.S.C. § 631, 638</p>	Director, Principal Deputy Director
6				
7				
8				
9				

Supplemental Headquarters “As Is” Table

SC-40: Office of Information Technology Management (OITM)
Draft: November 15, 2002

[illegible]

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
		<ul style="list-style-type: none"> • coordinate development of/implement R&D investment criteria and incorporate into e-technology applications for R&D management • reengineer work processes involving the Work Authorization System • coordinate/integrate with other DOE IT initiatives (eProcurement, IMANAGE/STARS [formerly e-Financial Management]) to ensure compatibility and the elimination of redundant development efforts • provide support to the SC Principal Deputy Director in his role as co-chair of the Department's ePME Board of Directors <p>Manage the Corporate Streamlining Departmental Grants Processes (SDGP) Project for DOE:</p> <ul style="list-style-type: none"> • simplify and unify DOE grant processes through a Business Process Reengineering effort in partnership with the Offices of Management, Budget, & Evaluation and Energy Efficiency; develop/implement a single electronic grant processing system within DOE • determine grant processing requirements for both the eProcurement project and the ePME project 	Director	Director, Principal Deputy Director, Deputy Director for Operations, CFO, CIO, S-3
6				
7				
8				
9				

**Supplemental Headquarters “As Is” Table
SC-50: Office of Fusion Energy Sciences (OFES)
Draft: October 12, 2002**

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
1	Advance the Science and Technology Foundations Necessary to Accomplish DOE Missions	<ul style="list-style-type: none"> • plan/develop/direct/fund/administer/implement forefront research programs in the following fields in order to provide the scientific and technological base required to develop fusion energy as an economically and environmentally attractive energy source: <ul style="list-style-type: none"> - fusion and plasma science - computational modeling of high-density plasmas - technology research (including development of low activation materials & magnets) - alternative magnetic confinement concepts; inertial fusion energy 	Director Atomic Energy Act of 1946, 42 U.S.C. § 1801, <i>et. seq.</i> Atomic Energy Act of 1954, 42 U.S.C. § 2011, <i>et. seq.</i> Energy Reorg. Act of 1974, 42 U.S.C. § 5801, <i>et. seq.</i> DOE Organization Act of 1977, 42 U.S.C. § 7101, <i>et. seq.</i> 42 U.S.C. § 2051	Director, Principal Deputy Director
2				
3				
4	Execute Budget	<ul style="list-style-type: none"> • pursue international collaboration in all phases of fusion research; develop program goals/objectives consistent with international collaboration • develop, recommend U.S. position for international fusion agreements/ collaborations; coordinate, manage USG consensus process • approve technical content of international agreements • provide guidance/prepare, negotiate, complete, execute, and evaluate formal international agreements • develop/manage international technical exchange programs and bilateral personnel and information exchanges 	Director	Director, Principal Deputy Director
5	Steward National Science Infrastructure	<ul style="list-style-type: none"> • execute stewardship/landlord responsibilities for the Princeton Plasma Physics Laboratory 	Director	Director, Principal Deputy Director
6				
7				
8				
9				

**Headquarters “As Is”: Table
SC-60: Office of Resource Management
Draft: November 18, 2002**

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
1	Formulate Budget	<ul style="list-style-type: none"> manage SC budget formulation process on behalf of the Director serve as principal budget advisor to the Director direct/evaluate formulation of budget documents/material prepared by SC offices to ensure consistency with OMB/DOE/SC-1 policies and guidance prepare/review data for Director’s Congressional testimony, statements for OMB hearings, speeches and presentations coordinate/review/advise on responses to hearing questions, statements for the record, transcripts advise Director and Associate Directors on strategies for defense of proposed budgets to DOE, OMB, OSTP, Congress serve as liaison/principal point of contact with Office of Chief Financial Officer, Office of Management and Budget, and Congressional Authorization and Appropriations Committee staffs submit proposed SC budget to CFO 	<p>Director of Science</p> <p>DOE 130.1 DOE Budget Formulation Handbook CFO Budget Calls OMB Circular A-11, “Preparation & Submission of Budget Estimates” Government Performance and Results Act of 1993</p>	Director, Principal Deputy Director, Deputy Director for Operations and Chief Financial Officer
2	Execute Budget	<ul style="list-style-type: none"> manage appropriated SC program funds to ensure use is in accordance with intent of appropriation ensure that financial restrictions are not violated, and that proper accounting controls and practices are maintained prepare monthly Approved Funding Plan, including program guidance and work authorizations operate financial management information system for SC programs to provide accurate/timely data for Director, Associate Directors, OMB, Congressional committees, etc. provide direction/guidance on financial and budgetary matters to various SC field offices, laboratories, and contractors/grantees for SC programs 	Director of Science	Director, Principal Deputy Director, Deputy Director for Operations and Chief Financial Officer
3	Manage SC Program Direction Budget	<ul style="list-style-type: none"> prepare/consolidate/defend SC-wide staffing budgets analyze/justify full-time equivalent requirements coordinate/consolidate Field Program Direction budgets prepare Q&As, testimony, presentations, etc., on SC Program Direction budget execute Program Direction budget at Headquarters advise Field on budget execution matters track FTE utilization against staffing ceilings, projected versus actual costs, etc. track and report on funds utilization, uncosted balances, etc., for entire SC Program Direction budget manage the Working Capital Fund for SC 	Director of Science	Director, Principal Deputy Director, Deputy Director for Operations
3	Manage Financial Assistance, Procurement and Contracting	<ul style="list-style-type: none"> provide expert advice to Director and SC HQ regarding acquisition, financial assistance and contract/grant management issues review/analyze proposed Federal and DOE acquisition, financial assistance and business management acquisition policies/procedures; develop SC 	<p>Director of Science</p> <p>10 CFR 600 (DOE Financial Assistance Program)</p>	Director, Principal Deputy Director, Deputy Director for Operations

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
		position/policy on these issues <ul style="list-style-type: none"> provide expert independent advice/analyses/recommendations on patent/copyright matters, make or buy determinations, small and disadvantaged business requirements, support service contracts, organizational conflicts of interest, technical reporting and technology transfer issues make final determinations on clearance of HQ noncompetitive procurement actions; organizational conflict-of-interest reviews; urgency statements related to procurement actions; and SC program competition advocacy functions manage systems to process and record both competitive and unsolicited proposals and applications and contract and financial assistance awards actions publish solicitations and receive proposals for all SC grants and SC HQ support service contracts give proposals to program offices for appropriate technical evaluation and merit review assure all procurement documentation is complete, then submit to contracting officers for award SC point of contact for DOE e-procurement initiatives prepare letters notifying Congress of SC financial assistance awards 	10 CFR 605 (SC Financial Assistance Program) Federal Grants & Cooperative Act, U.S.C. § 6301 Department of Energy Acquisition Regulation (DEAR) Federal Acquisition Regulation (FAR)	
4	Manage/Coordinate HQ Systems & Processes Related to Human Capital Management	<ul style="list-style-type: none"> provide advice, analyses and operational support for SC HQ organizations relating to human capital management perform strategic management analysis of human capital, including position management and succession planning at HQ, and overall SC workforce planning manage SC HQ employee development/training programs conduct SC HQ classification, staffing and recruitment of General Schedule positions (GS-1 through 15); one specialist in ME-532 assigned to service SC shares part of the workload obtain approval from ME-532 for advance in hire actions (i.e., above step 1) coordinate with Executive Resources (ME-531) on all Senior Executive Service recruitment actions for SC manage/coordinate Senior Executive Service performance and recognition process with executives at HQ and in the Field manage/coordinate SC HQ performance appraisal systems for Excepted Service and General Schedule employees manage SC HQ awards and recognition program; approve On-the Spot awards (up to the maximum of \$500), obtain approval from ME for Special Act awards over \$3,000 and time off awards over 27 hours; obtain authorization from OPM for awards in excess of \$10,000 coordinate DOE and SC hiring controls for HQ and Field advise and report on Equal Employment Opportunity/diversity matters prepare paperwork for Intergovernmental Personnel Act (IPA) assignments; coordinate with gaining program office, the individual, and his/her home institution; obtain concurrence from General Counsel, Chief Financial Officer and Office of Management, Budget and Evaluation for financial disclosure, 	Director of Science Delegation Memorandum from ME to Kathy Yarmas, Human Resource Specialist, for classification, staffing & recruitment of GS-1 through 15	Director, Principal Deputy Director, Deputy Director for Operations

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
		<p>conflict of interest, travel/per diem, etc. Note: effective 10/1/02, SC program offices are responsible for this activity.</p> <ul style="list-style-type: none"> ▪ serve as central point of contact on control of allocation of M&O contractor detailees on assignment to HQ ▪ coordinate summer hire and special emphasis program at SC HQ ▪ central point of contact for competitive sourcing/A-76 activities ▪ serve as SC liaison/principal POC with HQ union (two chapters) 		
5	Provide Management and Administrative Support to SC HQ	<ul style="list-style-type: none"> ▪ manage/coordinate SC Federal Managers' Financial Integrity Act (FMFIA) activities; consolidate Summary Management Reviews of all SC HQ and Field Offices and prepare SC's annual Assurance Memorandum ▪ central coordination point for SC HQ General Accounting Office and Inspector General audit activities; arrange entrance/exit conferences; advise lead office on preparation of management decisions; prepare SC HQ reports to CFO on status of audit reports; coordinate issues that are at LPSO level ▪ prepare documents/coordinate reorganizations of HQ and Field with ME ▪ POC for review/comment on draft DOE directives; assign HQ subject matter experts to review/comment on draft directives; collect/transmit SC-wide comments; facilitate resolution of major issues ▪ POC for review/comment on draft legislation and testimony; distribute drafts to appropriate individuals/offices for review; consolidate comments and facilitate resolution of conflicting views to represent single SC position ▪ coordinate Freedom of Information Act/Privacy Act activities at HQ; assign responsibility to appropriate offices at HQ or the Field; provide guidance ▪ coordinate Federal Advisory Committee Act charter and membership renewals with SC HQ program offices ▪ manage space allocations at HQ ▪ provide administrative support to the Immediate Office of the Director, such as ordering furniture, phones, etc. ▪ manage purchase card transactions for products and services (temporary secretarial support, journals, conference facilities, etc.) for SC HQ ▪ provide advice and assistance on Federal travel and foreign travel policies and systems; conference management 	Director of Science	Director, Principal Deputy Director, Deputy Director for Operations
6	Manage Day-to-Day Operation of Office of Resource Management	<ul style="list-style-type: none"> ▪ provide policy/management oversight and guidance for Office activities ▪ provide day-to-day policy and management direction/guidance for personnel ▪ supervise/appraise/review performance of staff ▪ manage workload & personnel resources; set priorities ▪ authorize/approve administrative activities (travel, leave, etc.) 	Director	Principal Deputy Director, Deputy Director for Operations
7	Execute Daily Administrative Activities for Office	<ul style="list-style-type: none"> ▪ process timesheets, make travel arrangements, provide clerical support (word processing, phone messages, photocopying, etc.) ▪ arrange office moves/telephone service, order furniture & supplies, etc. 	Director	Principal Deputy Director, Deputy Director for Operations

Supplemental Headquarters “As Is” Table
SC-70: Office of Biological and Environmental Research (BER)
Draft: October 7, 2002

[illegible]

#	<i>ROLES</i>	<i>RESPONSIBILITIES</i>	<i>AUTHORITIES</i>	<i>ACCOUNTABILITIES</i>
	Perform Proactive Outreach to External Communities			
7				
8				
9				

Headquarters “As Is”: Table
SC-80: Office of Laboratory Operations and Environment, Safety and Health
Draft: January 30, 2003

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
1	Develop SC-wide Policy/ Guidance on Operational Matters (Develop/Recommend Strategic Direction for Office)	<ul style="list-style-type: none"> establish expectations consistent with DOE policies for SC-wide performance in construction management, integrated safety management (ISM), integrated safeguards & security management (ISSM), and facilities and infrastructure (F&I) management develop/promulgate SC regulatory compliance policy, objectives, standards, specifications, and performance measures which supplement DOE generic requirements in the areas of environmental protection, waste management, pollution prevention, facility and property safety, occupational safety and health protection, emergency preparedness, quality assurance, training of operating personnel, and incident reporting develop/promulgate SC-wide guidance, objectives, standards, specifications, performance measures, and strategic plans which supplement DOE generic requirements in areas related to F&I management, maintenance, and recapitalization; excess facilities transfer and disposition; and site planning energy and utility management develop guidance for ten year site plans prepared by the SC laboratories formulate/revise facility specific engineering standards and specifications, technical policies, criteria, and procedures as they pertain to the operation, management, and maintenance of SC facilities and programs issue SC guidance for safeguards and security activities develop/maintain the Accelerator Safety Order and supplemental guidance establish expectations for the SC Headquarters Federal Employees Occupational Safety and Health Program 	<p>Director</p> <p><u>DOE Orders:</u> Project Management, Facilities & Infrastructure Management, ES&H, and Safeguards and Security</p> <p>SC FRAM</p>	Director, Principal Deputy Director, Deputy Director for Operations
2	Acquire Funding for Office Programs (Formulate & Enact Budget)	<ul style="list-style-type: none"> participate in the preparation, justification, and support of SC Program Offices’ construction budgets ensure ES&H, security, and F&I needs are integrated with programmatic activities recommend budget levels for ES&H, Security, and F&I expenditures (including maintenance of conventional F&I and the infrastructure component of GPP/GPE) for all SC laboratories formulate, propose, defend the budget for the Science Laboratories Infrastructure Program (line item construction, payment in lieu of taxes, Oak Ridge Operations Landlord, and Excess Facilities Disposition) prepare five year funding plans for the Science Laboratories Infrastructure (SLI) Program review facility budgets to determine if sufficient financial resources are dedicated to meet pollution control and regulatory compliance goals and objectives 	Director	Director, Principal Deputy Director, Deputy Director for Operations
3	Execute Budget	monitor SC-wide performance in operational areas [construction	Director	Director, Principal

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
		<p>management, integrated safety management (ISM), integrated safeguards & security management (ISSM), F&I management]</p> <p><u>Construction Management:</u></p> <ul style="list-style-type: none"> • direct/develop/implement policies, plans, and procedures for design, fabrication, construction, commissioning, operation and decommissioning of research/conventional facilities and devices required to support SC programmatic missions • direct the planning, review, evaluation and execution of SC infrastructure construction activities • conduct independent technical, cost, schedule, and management peer reviews of ongoing SC construction projects/large experimental equipment to ensure that SC facilities are constructed on time, and within scope and schedule • ensure establishment of appropriate management arrangements for executing construction activities both within DOE and at all off-site locations • review large projects prior to requesting construction funds in the budget process to establish technical, cost and schedule baselines, and prior to requesting authorization to start operations • monitor/evaluate the progress of all SC construction projects • serve as SC Secretariat for the Energy Systems Acquisition Advisory Board (ESAAB) and all SC change control actions; coordinate related activities within SC and with other DOE offices • prepare ESAAB program and project documentation/materials including Mission Need Documentation, Project Plans, Project Management Plans, Project Execution Plans, Construction Project Data Sheets, Project Budget Validation, Baseline Change Control, and Design and Construction Project Reporting • establish and implement procedures to prepare for the ESAAB and change control processes <p><u>Science Laboratories Infrastructure Program (SLI):</u></p> <ul style="list-style-type: none"> • manage and execute the SLI Program including subprograms for line item construction, payment in lieu of taxes, Oak Ridge Operations Landlord, and Excess Facilities Disposition. • oversee quarterly reporting of maintenance expenditures for SC (requirement imposed by DOE CFO) • support development and implementation of an Institutional General Plant Projects (IGPP) policy and provide quarterly reports to the Office of Engineering & Construction Management (OECM, ME-90). • maintain and coordinate the SC Space Bank for providing offsetting space for new SC facilities to meet Congressional requirement <p><u>Environment, Safety and Health:</u></p>	<p>DOE Project Management Order</p> <p>DOE ES&H Orders</p>	<p>Deputy Director, Deputy Director for Operations</p>

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
		<p>and contractors and SC HQ Advisory Committees</p> <ul style="list-style-type: none"> • manage SC HQ Foreign Visits and Assignments and Field Terrorist Country Visits/Assignments Programs • manage Field J-1 visa waiver program for work that SC sponsors • provide input and review for policies related to the IAEA, Biological Weapons Convention, and Chemical Weapons Convention • ensure Field security survey program is administered properly • facilitate classified meetings and discussions at HQ • complete technical reviews for Field-submitted waivers, variances, and deviations • coordinate Field foreign ownership control and influence determinations • provide counterintelligence briefings to employees • facilitate counterintelligence Field activities for SC interests • provide technical input for lab security plans • perform self assessments of HQ facilities • conduct pre-employment and background confirmations, as needed • change vault and door combinations and provide access lists for SC HQ security areas • assess HQ alarm conditions as asked by SC management • facilitate technical security counter measures activities • perform preliminary inquiries for suspected criminal activities at SC HQ • ensure facility clearance and approval program is compliant • issue State Department travel advisories for SC foreign travel applicants • review memorandums of understanding and agreement between SC labs and various law enforcement and emergency support agencies • conduct annual SC Security Directors conference • provide risk and damage assessments for items of national interest as asked by SC senior management • review State Department Cables for issues of proliferation concern • prepare security program summary presentations • review metrics from Field safeguards activities • ensure nationwide program is compliant and effective 	<p>Awareness Program</p> <p>471.1-1 Unclassified Controlled Nuclear Information</p> <p>471.2a Information Security</p> <p>472-1b Personnel Sec. Activities</p> <p>473.1 Physical Protection Prog.</p> <p>473.2 Protective Force Program</p> <p>474.1a Control and Accountability of Nuclear Material</p> <p>481.1b Work For Others-non DOE Funded</p> <p>482 DOE Facilities Technology Partnering Program</p> <p>483.1 Cooperative Research & Development Agreements</p> <p><u>DOE Policies:</u></p> <p>470.1 Integrated Safeguards & Security Management</p> <p><u>DOE Manuals:</u></p> <p>471 Classified Information System Security</p> <p>471.1-1 Unclassified Controlled Nuclear Information</p> <p>471.2 Classified Matter Protection and Control</p> <p>471.2-3a Special Access Programs</p> <p>472.1-1b Personnel Security</p> <p>473.1-1 Physical Protection Program</p> <p>473.2-1a Firearms Qualification Courses</p> <p>473.2-2 Protective Force Program</p> <p>474.1-1a Material Control and Accountability of Nuclear Materials</p> <p>475.1-1a Identifying Classified Information</p> <p>481.1a Reimbursable Work For Others</p> <p>483.1-1 Cooperative Research & Dev. Agreements</p>	

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
			<p><u>DOE Notices:</u> 471.3 Reporting Incidents of Security Concern 473.8 Security Conditions 474 Nuclear Materials Man. & Safeguards System Reporting & Data Sub.</p> <p><u>DOE Guides:</u> 476 Work For Others</p> <p><u>Executive Orders:</u> 13224 Terrorism Against the U.S.</p> <p><u>Presidential Decision Directives:</u> 12 Sec. Awareness & Reporting of Foreign Activities 39 US Policy on Counterterrorism 61 Energy Department Counterintelligence Activities 62 Combating Terrorism 63 Protecting America's Critical Infrastructure</p> <p><u>National Sec. Decision Directives:</u> 189 Controls Over Fundamental Research</p> <p>National Industrial Security Program Manual</p> <p>42 U.S.C. (Crimes Against the US) 10 CFR 1046 (Fitness Qualification Requirements) 10 CFR 1047 (Use of Deadly Force) 10 CFR 810 (Export Controls) 10 CFR 734.8 (Info. Resulting from Fundamental Research)</p> <p>Atomic Energy Act of 1954 as amended</p> <p><u>DOE Acquisition Regulation:</u></p>	

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
			970 (General & Contract Clauses- Controls of National Interests) 952 (Admin., Classification & Declass., Info. Disclosure, Foreign Ownership, Control, & Influence Clauses)	
4	Steward National Science Infrastructure	<u>Science Laboratories Infrastructure (SLI) Program:</u> <ul style="list-style-type: none"> manage and implement the SLI program: <ul style="list-style-type: none"> fund line item construction projects to maintain the general purpose infrastructure (GPI) and to clean up and remove excess facilities at the SC labs support SC landlord responsibilities for the 36,000 acre Oak Ridge Reservation provide Payments in Lieu of Taxes (PILT) to local communities around ANL-E, BNL, and ORNL coordinate an integrated SC F&I goals and five year funding plan maintain information for the SC laboratories on facility conditions, deferred maintenance, and recapitalization needs <ul style="list-style-type: none"> maintain indices of SC recapitalization and maintenance efforts investment indices maintain the SC Space Bank for offsetting new construction with removal of existing space collect, review, and coordinate quarterly IGPP project reports and maintenance expenditure reports with SC management and OECM conduct periodic reviews to assess laboratory & Field Office performance prepare the F&I semiannual report required by report language in the FY 2002 House Appropriations Bill serve as program manager for occurrence reporting on assigned balance-of-plant responsibilities at SC multiprogram labs 	Director	Director, Principal Deputy Director, Deputy Director for Operations
5	Advocate & Represent Office/SC/DOE/U.S. (Perform Proactive Outreach to External Customers/Stakeholders)	<ul style="list-style-type: none"> represent SC on DOE-wide and government-wide committees/working groups which develop/review/modify policy, roles, responsibilities, and procedures for F&I management, ES&H, construction management, and safeguards and security serve as liaison/primary POC on operational issues with other parts of DOE (including the Office of the Inspector General), other Federal agencies, Congress (including the General Accounting Office), the Office of Management and Budget, the Office of Science and Technology Policy, and the public represent SC HQ in negotiations between Field elements and EPA, state, and local agencies in developing interagency and compliance agreements; proposed environmental pollution control legislation, regulations, and standards; and upgrading SC facilities to achieve compliance with state and Federal regulatory requirements work with other DOE Program Offices to ensure that ES&H guidance to 	Director	Director/Deputy Director for Operations, Associate & Office Directors, Field Managers, Laboratory Directors

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
		<p>contractors and Field Offices is consistent</p> <ul style="list-style-type: none"> work with other DOE programs to assure that offsetting space requirements for new facilities are met serve as SC focal point in dealing with ES&H matters originating from the Defense Nuclear Facilities Safety Board (DNFSB) and with EH, the Office of Environmental Management (EM), NE, Field elements, and contractors for matters involving SC facilities serve as SC focal point in dealing with F&I matters originating from OECM, Field elements, and contractors for matters involving SC facilities serve as SC HQ point of contact for utility, energy management, and sustainable development activities 		
6	Provide Direct Support, Advice, Information to SC & DOE Principals/ SC Associate & Office Directors/ SC Field Managers/Executive Branch	<ul style="list-style-type: none"> integrate/coordinate/identify/resolve operational issues across SC Program/ Field Offices and laboratories develop/coordinate SC position on proposed DOE/Executive Branch orders, regulations, and policy documents regarding project management, F&I management, ES&H, and safeguards and security <p><u>Provide Direct Support:</u></p> <ul style="list-style-type: none"> provide expert management and staff support to SC Program Offices on matters relating to construction management activities; assist Program/Field Offices in the preparation of documents, maintaining schedules and coordinating with other DOE offices engaged in the ESAAB and change control processes maintain the SC Space Bank and support programs in making withdrawals to build new facilities support development and implementation of the IGPP policy support SC Program Offices in F&I matters lead ISM verifications and support ISSM and infrastructure needs evaluations provide subject matter experts in support of ad hoc technical reviews; accident investigations; S&S reviews, surveys, and inspections, as requested provide customer service representatives as liaisons between SC Headquarters and the Field Offices support SC HQ and Field Offices in the conduct of Operational Readiness Reviews of SC facilities assist Associate Directors in identifying and providing specific ES&H training for their staff provide technical support and assistance to SC program offices during program and project reviews having pollution control and regulatory compliance implications support SC supervisors as requested for potential employee violence situations support SC lab on-site and institutional plan reviews 	Director	Director/Deputy Director for Operations, Associate & Office Directors, Field Managers, Laboratory Directors

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
		<p><u>Provide Advice:</u></p> <ul style="list-style-type: none"> • provide independent advice to the Director regarding the construction and operation of SC major research facilities; advise the Director on project status, progress, and problem areas; recommend possible courses of action to resolve issues and problems • advise the Director on policy matters relating to F&I and implementation of SC's F&I goals • advise the Director on all matters relating to safeguards and security • subsequent to an environmental incident at an SC facility, report extent of environmental contamination and recommend corrective actions to SC senior management • advise senior HQ, Field, and laboratory managers on SC-wide operational issues, including construction management; general purpose infrastructure; integrated safeguards and security management; integrated ES&H management; emergency management • serve as technical advisor to SC Program Offices regarding environmental engineering, pollution control, regulatory compliance issues, F&I, and on Field Office and contractor performance in these areas • provide authoritative interpretations of ES&H-related DOE directives (policies, orders, technical guides, handbooks, etc.) • review (for impact on SC facilities) Federal statutes, Executive Orders, and DOE requirements relating to environmental protection, waste management, pollution prevention, energy efficiency, the packaging and transportation of hazardous materials, occupational safety and health protection, emergency preparedness, nuclear and equipment safety, and quality assurance • provide advice to senior SC management on activities of private and public utilities which impact DOE laboratories; recommend corrective actions • provide personal protection advice to SC HQ employees, as needed <p><u>Provide Information:</u></p> <ul style="list-style-type: none"> • analyze SC-wide performance and recommend positions and actions on construction, F&I, ISM, ISSM, and emergency management • promote SC-wide executive awareness of operational performance by communicating through web-based and other information systems/forums • ensure that national, DOE and SC priorities for operations are communicated, understood and considered in the content and orientation of SC research programs and activities • establish/maintain a lessons learned program for SC construction, infrastructure and ES&H activities • provide SC corporate training, including ISM, ISSM, NEPA, and F&I processes and systems • benchmark construction, F&I, and ES&H practices in industry and other government laboratories 		
7	Defend/Fight for SC	<ul style="list-style-type: none"> • champion SC positions on operational issues across DOE and with 	Director	Director/Deputy

#	ROLES	RESPONSIBILITIES	AUTHORITIES	ACCOUNTABILITIES
	Interests	stakeholders (DNFSB, IG, GAO, other Federal agencies) <ul style="list-style-type: none"> • coordinate SC-wide policy development with all stakeholders to promote effective and efficient tailoring of controls such that policy implementation is performance based • champion/maintain regulator-approved radiological air-emissions compliance model • champion/coordinate SC-wide position on Accelerator Safety Order • champion SC ISSM positions on DOE executive council, implementation team, working groups and DOE Directives development activities 		Director for Operations, Associate & Office Directors, Field Managers, Laboratory Directors
8	Manage Federal Employees Occupational Safety & Health Program for SC HQ	<ul style="list-style-type: none"> • establish SC FEOSH annual program goals and objectives • conduct periodic workplace reviews of SC FEOSH performance • conduct individual employee workstation evaluations 	Director	Director, Principal Deputy Director, Deputy Director for Operations